

04CO  
09-13-01 ✓  
PATENT  
Attorney Docket No. 212423  
011-2  
#2  
(2)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Sascha Nick

Group Art Unit: Not yet assigned

Application No.: 09/934,000

Examiner: Not yet assigned

Filed: August 21, 2001

For: System and Method For Scalable  
Multi-Level Remote Diagnosis And  
Predictive Maintenance

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Pursuant to 37 C.F.R. §§ 1.97 and 1.98, the references listed on the enclosed Form PTO-1449 and/or Substitute Form PTO-1449 ("Form 1449") are submitted for consideration by the Examiner in the examination of the above-identified patent application.

The full consideration of the references in their entirety by the Examiner is respectfully requested and encouraged. Also, it is respectfully requested that the references be entered into the record of the present application and that the Examiner place his or her initials in the appropriate area on the enclosed Form 1449, thereby indicating the Examiner's consideration of each of the references.

The submission of the references listed on the Form 1449 is for the purpose of providing a complete record and is not a concession that the references listed thereon are prior art to the invention claimed in the patent application. The right is expressly reserved to establish an invention date earlier than the above-identified filing date in order to remove any reference submitted herewith as prior art should it be deemed appropriate to do so.

Further, the submission of the references is not to be taken as a concession that any reference represents art that is relevant or analogous to the claimed invention. Accordingly, the right to argue that any reference is not properly within the scope of prior art relevant to an examination of the claims in the above-identified application is also expressly reserved.

The Information Disclosure Statement is being filed:

- ☒ **within** any one of the following time periods: (a) within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); (b) within three months of the date of entry of the national stage as set forth

In re Appln. of: Sascha Nick  
Application No.: 09/934,000

in § 1.491 of an international application; (c) before the mailing date of a first Office Action on the merits; or (d) before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

- ☐ **after** (a), (b), (c) or (d) above, but before the mailing date of a final action under § 1.113, a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution in the application, and includes *one* of:

☐ the Statement under § 1.97(e) (see "Statement under § 1.97(e)" below).

*or*

☐ the fee of \$180 set forth in § 1.17(p) (see "Fees" below).

- ☐ **after** the mailing date of a final action under § 1.113 or a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution in the application, and on or before payment of the issue fee, and includes the Statement under § 1.97(e) (see "Statement under § 1.97(e)" below), and the fee of \$180 as set forth in § 1.17(p) (see "Fees" below).

- ☐ **after** the mailing date of a Notice of Allowance under § 1.311, and on or before payment of the issue fee, and **within** thirty days of receiving each item of information contained in the Information Disclosure Statement, and includes the Statement under § 1.704(d) (see "Statement under § 1.704(d)" below), and the fee of \$180 as set forth in § 1.17(p) (see "Fees" below).

NOTE: this is for original applications except applications for a design patent, filed on or after May 29, 2000, wherein a paper containing only an Information Disclosure Statement in compliance with §§ 1.97 and 1.98 is being filed.

### Copies Of The References

- ☒ Copies of the references listed on the enclosed Form 1449 are enclosed herewith. Attached to each reference not in the English language is a concise explanation of the relevance pursuant to § 1.98(a)(3).

- ☐ A copy of the foreign search report is enclosed herewith.

- ☐ The references listed on the enclosed Form 1449 were previously identified in the parent application(s) of the present application, and copies of the references were furnished at that time. Accordingly, additional copies of the references are not submitted herewith, so as not to burden the file with duplicate copies of references. The Examiner is respectfully requested to carefully review the references in accordance with the requirements set out in the Manual of Patent Examining Procedure. In accordance with § 1.98(d), the details of the parent application(s) relied

In re Appln. of: Sascha Nick  
Application No.: 09/934,000

upon for an earlier filing date under 35 USC § 120 in which copies of the references were previously furnished are set out below:

U.S. APPLICATIONS		Status ( <i>check one</i> )		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1. 0 /				
2. 0 /				
3. 0 /				

#### Other Applications

☐ The Examiner's attention is directed to the following U.S. patent application(s):

U.S. APPLICATIONS		Status ( <i>check one</i> )		
U.S. APPLICATIONS	U.S. FILING DATE	PATENTED	PENDING	ABANDONED
1. 0 /				
2. 0 /				
3. 0 /				

#### Statement under § 1.97(e)

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of the Information Disclosure Statement.
- ☐ The **undersigned** hereby states that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign patent application, and, to the knowledge of the undersigned after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

In re Appln. of: Sascha Nick  
Application No.: 09/934,000

**Statement under § 1.704(d)**

- ☐ The **undersigned** hereby states that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.

**Fees**

- ☒ No fee is owed by the applicant(s).  
☐ The **IDS Fee of \$180** under § 1.17(p) is enclosed herewith.

**Method Of Payment Of Fees**

- ☐ Attached is a check in the amount of \$ .  
☐ Charge Deposit Account No. 12-1216 in the amount of \$ . (A duplicate copy of this communication is enclosed for that purpose.)

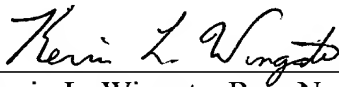
**Authorization To Charge Additional Fees**

- ☒ If any additional fees are owed in connection with this communication, please charge Deposit Account No. 12-1216. (A duplicate copy of this communication is enclosed for that purpose.)

**Instructions As To Overpayment**

- ☒ Credit Account No. 12-1216.  
☐ Refund

Date: September 6, 2001

  
\_\_\_\_\_  
Kevin L. Wingate, Reg. No. 38662  
LEYDIG, VOIT & MAYER, LTD.  
6815 Weaver Road, Suite 300  
Rockford, Illinois 61114-8018  
(815) 963-7661 (telephone)  
(815) 963-7664 (facsimile)

In re Appln. of: Sascha Nick  
Application No.: 09/934,000

CERTIFICATE OF MAILING

I hereby certify that this INFORMATION DISCLOSURE STATEMENT (along with any documents referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date: September 6, 2001 Susan Hutcherson

IDS (Rev. 12/08/2000)

FORM PTO-1449  
MODIFIEDU.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
212423APPLICATION NO.  
09/934,000INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(Use several sheets if necessary)

APPLICANT  
Sascha NickFILING DATE  
August 21, 2001ART UNIT  
Not yet assigned

## U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	APPLICATION OR PATENT NUMBER	ISSUE DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	4,885,707	12/5/89	Nichol, et al.	364	551.01	
	5,442,555	8/15/95	Reifman, et al.	364	431.01	
	5,706,321	1/6/98	Chen, et al.	376	463	
	5,745,382	4/28/98	Vilim, et al.	364	551.01	
	5,764,509	6/9/98	Gross, et al.	364	149	
	5,774,379	6/30/98	Gross, et al.	364	576	
	5,845,230	12/1/98	Lamberson	702	56	
	5,987,399	11/16/99	Wegerich, et al.	702	183	
	6,107,919	8/22/00	Wilks, et al.	340	511	
	6,119,111	9/12/00	Gross, et al.	706	15	
	6,131,076	10/10/00	Stephan, et al.	702	189	
	6,181,975	1/30/01	Gross, et al.	700	29	
	6,199,018	3/6/01	Quist, et al.	702	34	
	6,202,038	3/13/01	Wegerich, et al.	702	183	
	6,240,372	5/29/01	Gross, et al.	702	71	

## FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO**

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Functionality of the SmartSignal Modeling and Detection Engine, Stephan Wegerich, M.S., Alan Wilks, Ph.D., Karen Cassidy, Ph.D. and Matthew Pipke, J.D., SmartSignal Corp, pages 1-9, 2000.
	Information Everywhere-Connectivity is the Future of Predictive Maintenance, Dean Lofall, 5 pages, PREDICT/DLI

EXAMINER

DATE CONSIDERED

\* A concise statement of relevance is being submitted in lieu of a translation. 37 CFR 1.98(a)(3).

+ An English-language equivalent/patent, or an English-language abstract, or an English-language version of the search report or action by a foreign patent office in a counterpart foreign application indicating the degree of relevance found by the foreign office is being submitted in lieu of a concise explanation of relevance under 37 CFR 1.98(a)(3).